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PTO/SB/05 (4/98)

Approved for use through 09/30/2000. OMB 0651-0032  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. 12-1100

First Inventor or Application Identifier Michael Wojtowicz

Title GaN HBT SUPERLATTICE BASE STRUCTURE

Express Mail Label No. EF238848644US

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

|   |   |
|---|---|
| <p>1. <input checked="" type="checkbox"/> * Fee Transmittal Form (e.g., PTO/SB/17)<br/>(Submit an original and a duplicate for fee processing)</p> <p>2. <input checked="" type="checkbox"/> Specification [Total Pages <u>5</u>] <br/>(preferred arrangement set forth below)</p> <ul style="list-style-type: none"> <li>- Descriptive title of the Invention</li> <li>- Cross References to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to Microfiche Appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul> <p>3. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <u>1</u>]</p> <p>4. Oath or Declaration [Total Pages <u>3</u>]</p> <ul style="list-style-type: none"> <li>a. <input checked="" type="checkbox"/> Newly executed (original or copy)</li> <li>b. <input type="checkbox"/> Copy from a prior application (37 C.F.R. § 1.63(d))<br/>(for continuation/divisional with Box 16 completed)</li> <li>i. <input type="checkbox"/> <u>DELETION OF INVENTOR(S)</u><br/>Signed statement attached deleting<br/>inventor(s) named in the prior application,<br/>see 37 C.F.R. §§ 1.63(d)(2) and 1.33(b).</li> </ul> | <p>5. <input type="checkbox"/> Microfiche Computer Program (Appendix)</p> <p>6. Nucleotide and/or Amino Acid Sequence Submission<br/>(if applicable, all necessary)</p> <ul style="list-style-type: none"> <li>a. <input type="checkbox"/> Computer Readable Copy</li> <li>b. <input type="checkbox"/> Paper Copy (identical to computer copy)</li> <li>c. <input type="checkbox"/> Statement verifying identity of above copies</li> </ul> |
| <b>ACCOMPANYING APPLICATION PARTS</b>   |   |
| <p>7. <input checked="" type="checkbox"/> Assignment Papers (cover sheet &amp; document(s))</p> <p>8. <input checked="" type="checkbox"/> 37 C.F.R. §3.73(b) Statement <input type="checkbox"/> Power of<br/>(when there is an assignee) <input checked="" type="checkbox"/> Attorney</p> <p>9. <input type="checkbox"/> English Translation Document (if applicable)</p> <p>10. <input checked="" type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS<br/>Citations</p> <p>11. <input type="checkbox"/> Preliminary Amendment</p> <p>12. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503)<br/>(Should be specifically itemized)</p> <ul style="list-style-type: none"> <li>* Small Entity Statement(s) <input type="checkbox"/> Statement filed in prior application<br/>(PTO/SB/09-12)</li> <li>13. <input type="checkbox"/> Status still proper and desired</li> <li>14. <input type="checkbox"/> Certified Copy of Priority Document(s)<br/>(if foreign priority is claimed)</li> <li>15. <input type="checkbox"/> Other: .....<br/>.....<br/>.....</li> </ul>   |   |

**\* NOTE FOR ITEMS 1 & 13 IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).**

16. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment:

Continuation     Divisional     Continuation-in-part (CIP)    of prior application No. \_\_\_\_\_ / \_\_\_\_\_

Prior application information: Examiner \_\_\_\_\_ Group / Art Unit: \_\_\_\_\_

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 4b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

**17. CORRESPONDENCE ADDRESS**

|  |   |           |              |   |              |
|--|---|-----------|--------------|---|--------------|
| <input type="checkbox"/> Customer Number or Bar Code Label | (Insert Customer No. or Attach bar code label here) |           |              | or <input checked="" type="checkbox"/> Correspondence address below |              |
| Name   | Patent Counsel                                      |           |              |   |              |
|  | TRW Inc.  |           |              |   |              |
| Address  | S&EG Law Department, E2/6051                        |           |              |   |              |
|  | One Space Park                                      |           |              |   |              |
| City   | Redondo Beach                                       | State     | CA           | Zip Code  | 90278        |
| Country  |   | Telephone | 310-812-1534 | Fax   | 310-812-2687 |

|                   |                        |                                   |        |
|-------------------|------------------------|-----------------------------------|--------|
| Name (Print/Type) | Connie Thousand        | Registration No. (Attorney/Agent) | 43,191 |
| Signature         | <i>Connie Thousand</i> |                                   |        |
|                   | Date                   | 04/11/01                          |        |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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# FEE TRANSMITTAL

## for FY 2000

Patent fees are subject to annual revision.

**Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12. See 37 C.F.R. §§ 1.27 and 1.28.**

TOTAL AMOUNT OF PAYMENT (\$990.00)

| Complete if Known    |                   |
|----------------------|-------------------|
| Application Number   |                   |
| Filing Date          | April 12, 2001    |
| First Named Inventor | Michael Wojtowicz |
| Examiner Name        | Not Assigned      |
| Group / Art Unit     | N/A               |
| Attorney Docket No.  | 12-1100           |

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 20-1515

Deposit Account Name TRW Inc.

 Charge Any Additional Fee Required Under 37 CFR §§ 1.16 and 1.17

2.  Payment Enclosed:

 Check  Money Order  Other

## FEE CALCULATION (continued)

## 3. ADDITIONAL FEES

| Large Entity Fee Code (\$) | Small Entity Fee Code (\$) | Fee Description  | Fee Paid |
|----------------------------|----------------------------|--|----------|
| 105                        | 130                        | Surcharge - late filing fee or oath  | 0.00     |
| 127                        | 50                         | Surcharge - late provisional filing fee or cover sheet.                    | 0.00     |
| 139                        | 130                        | Non-English specification  | 0.00     |
| 147                        | 2,520                      | For filing a request for reexamination                                     | 0.00     |
| 112                        | 920*                       | Requesting publication of SIR prior to Examiner action                     | 0.00     |
| 113                        | 1,840*                     | Requesting publication of SIR after Examiner action                        | 0.00     |
| 115                        | 110                        | Extension for reply within first month                                     | 0.00     |
| 116                        | 380                        | Extension for reply within second month                                    | 0.00     |
| 117                        | 870                        | Extension for reply within third month                                     | 0.00     |
| 118                        | 1,360                      | Extension for reply within fourth month                                    | 0.00     |
| 128                        | 1,850                      | Extension for reply within fifth month                                     | 0.00     |
| 119                        | 300                        | Notice of Appeal   | 0.00     |
| 120                        | 300                        | Filing a brief in support of an appeal                                     | 0.00     |
| 121                        | 260                        | Request for oral hearing   | 0.00     |
| 138                        | 1,510                      | Petition to institute a public use proceeding                              | 0.00     |
| 140                        | 110                        | Petition to revive - unavoidable   | 0.00     |
| 141                        | 1,210                      | Petition to revive - unintentional   | 0.00     |
| 142                        | 1,210                      | Utility issue fee (or reissue)   | 0.00     |
| 143                        | 430                        | Design issue fee   | 0.00     |
| 144                        | 580                        | Plant issue fee  | 0.00     |
| 122                        | 130                        | Petitions to the Commissioner  | 0.00     |
| 123                        | 50                         | Petitions related to provisional applications                              | 0.00     |
| 126                        | 240                        | Submission of Information Disclosure Stmt                                  | 0.00     |
| 581                        | 40                         | Recording each patent assignment per property (times number of properties) | 40.00    |
| 146                        | 690                        | Filing a submission after final rejection (37 CFR § 1.129(a))              | 0.00     |
| 149                        | 690                        | For each additional invention to be examined (37 CFR § 1.129(b))           | 0.00     |
| Other fee (specify) _____  |                            |  | 0.00     |
| Other fee (specify) _____  |                            |  | 0.00     |
| SUBTOTAL (3) (\$ 40.00)    |                            |  |          |

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ 40.00)

## SUBMITTED BY

Complete (if applicable)

|                   |                    |                                      |        |           |              |
|-------------------|--------------------|--------------------------------------|--------|-----------|--------------|
| Name (Print/Type) | Connie M. Thousand | Registration No.<br>(Attorney/Agent) | 43,191 | Telephone | 310-812-1534 |
| Signature         | Connie Thousand    |                                      |        | Date      | 04/11/01     |

## WARNING:

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